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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

09/886,942

Filing Date

June 21, 2001

First Named Inventor

Juha Punnonen

Group Art Unit

Unassigned

Examiner Name

Unassigned

Attorney Docket Number

02-031910US

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing
Parts under 37 CFR
1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69)
and Accompanying Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence
Address

☐ Terminal Disclaimer

☐ Small Entity Statement

☐ Request for Refund

☐ After Allowance Communication
to Group

☐ Appeal Communication to Board
of Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Additional Enclosure(s)
(please identify below):

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Cited References

Authorization to Charge Deposit Account

Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Jonathan Alan Quine Reg. No. 41261, The Law Offices of Jonathan Alan Quine

Signature

Jonathan Alan Quine

Date

11-6-01

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CERTIFICATE OF MAILING

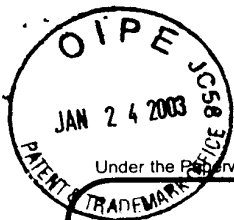
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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

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|------------------------|------------------------|
| Application Number | 09/886,942 |
| Filing Date | June 21, 2001 |
| First Named Inventor | Juha Punnonen, et al |
| Group Art Unit | 1636 |
| Examiner Name | Gerald G. Leffers, Jr. |
| Attorney Docket Number | 0179.210US |

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
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- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
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- ☐ Information Disclosure Statement
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- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

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- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

Transmittal Form, Communication Regarding Previously Submitted Information Disclosure Statement and Copies of References Cited Therein; Copy of Transmittal Form for IDS as filed on November 6, 2001; Copy of Information Disclosure Statement as filed on November 6, 2001; Copy of PTO/SB/O8A-B as filed on November 6, 2001 citing References AA-ED; Copy of Return Postcard Date-Stamped by the USPTO; References AA-ED; Return Postcard

Remarks

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Individual name

Margaret A. Powers, Reg. No. 39,804

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January 15, 2003

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The Law Offices of Jonathan Alan Quine

By Amelia Groth

Attorney Docket No. 02-031910US
Client Ref. No. 0179.210US

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Juha Punnonen, *et al.*

Application No.: 09/886,942

Filed: June 21, 2001

For: NOVEL CHIMERIC PROMOTERS

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR § 1.97 and
§ 1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached form PTO-1449 are being called to the
attention of the Examiner. Copies of the references are enclosed. It is respectfully requested
that the cited information be expressly considered during the prosecution of this application,
and the references be made of record therein and appear among the "references cited" on any
patent to issue therefrom.

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As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 50-0893. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

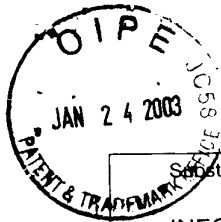


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Reg. No. 41,261

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Substitute for form 1449A-B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

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|------------------------|---------------|
| Application Number | 09/886,942 |
| Filing Date | June 21, 2001 |
| First Named Inventor | Juha Punnonen |
| Group Art Unit | Unassigned |
| Examiner Name | Unassigned |
| Attorney Docket Number | 02-031910US |

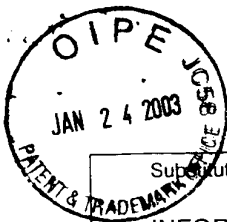
U.S. PATENT DOCUMENTS

| Examiner Initials | Cite No. | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal |
|-----------------------|-------------|----------------------|-------------------------|--|--|---|
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| Examiner Signature | | | | | Date Considered | |

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| Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | Complete if Known | |
| | Application Number | 09/886,942 |
| | Filing Date | June 21, 2001 |
| | First Named Inventor | Juha Punnonen |
| | Group Art Unit | Unassigned |
| | Examiner Name | Unassigned |
| | Attorney Docket Number | 02-031910US |

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| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-------------|-------------------------|----------|-------------------------|--|--|---|---|
| Examiner Initials | Cite No. | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T |
| | | Office | Number | Kind Code (if known) | | | | |
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| | Application Number | 09/886,942 |
| | Filing Date | June 21, 2001 |
| | First Named Inventor | Juha Punnonen |
| | Group Art Unit | Unassigned |
| | Examiner Name | Unassigned |
| | Attorney Docket Number | 02-031910US |

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| Examiner Signature | | Date Considered | |
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| | DI | WO | 00/58517 | | Diversa Corporation | 10-05-2000 | |
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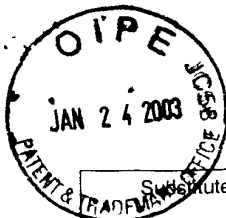
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T |
|-------------------|----------|---|---|
| | DJ | Chang, C., et al. (1999) "Evolution of a cytokine using DNA family shuffling." <u>Nature Biotechnology</u> 17:793-797. | |
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| | Attorney Docket Number | 02-031910US | | |

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| DR | Crameri, A. et al., (1998) "DNA shuffling of a family of genes from diverse species accelerates directed evolution." <i>Nature</i> 391:288-291. |
| DS | Gates, C.M. et al., (1996) "Affinity selective isolation of ligands from peptide libraries through display on a lac repressor 'headpiece dimer'." <i>Journal of Molecular Biology</i> 255:373-386. |
| DT | Minshull, J., Stemmer, W.P.C. (1999) "Protein evolution by molecular breeding." <i>Current Opinion in Chemical Biology</i> 3:284-290. |
| DU | Ness, J. et al., (1999) "DNA shuffling of subgenomic sequences of subtilisin." <i>Nature Biotechnology</i> 17:893-896. |
| DV | Patten, P.A. et al., (1997) "Application of DNA Shuffling to Pharmaceuticals and Vaccines." <i>Current Opinion in Biotechnology</i> 8:724-733. |
| DW | Pelletier, Joelle N., (2001) "A Rachitt for our toolbox" <i>Nature Biotechnology</i> vol. 19, p. 314-315 |
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| DY | Stemmer, W.P.C. (1994) "Rapid evolution of a protein in vitro by DNA shuffling." <i>Nature</i> 370:389-391. |
| DZ | Stemmer, W.P.C. (1995) "The Evolution of Molecular Computation." <i>Science</i> 270:1510 |
| EA | Stemmer, W.P.C. (1995) "Searching Sequence Space." <i>Bio/Technology</i> 13:549-553. |
| EB | Stemmer, W.P.C. (1996) "Sexual PCR and Assembly PCR." In: <i>The Encyclopedia of Molecular Biology</i> . VCH Publishers, New York. pp. 447-457. |
| EC | Stemmer, W.P.C. & Soong, N.W. (1999) "Molecular breeding of viruses for targeting and other clinical properties." <i>Tumor Targeting</i> 4:59-62. |
| ED | Zhang, J. et al., (1997) "Directed evolution of an effective fucosidase from a galactosidase by DNA shuffling and screening." <i>Proceedings of the National Academy of Sciences, USA</i> 94:4504-4509. |

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